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| <p align="center">GEORGIA DEPARTMENT OF JUVENILE JUSTICE</p> | <p align="center">Transmittal # 15-14</p> | <p align="center">Policy # 5.9</p> |
| <p>Applicability: {x} All DJJ Staff {x} Administration {x} Community Services {x} Secure Facilities (RYDCs and YDCs)</p> | <p>Related Standards & References: Health Insurance Portability and Accountability Act of 1996 Rules of the State Personnel Board 478-1-.9. ACA Standards:3-JDF-1C-19;3-JDF-1C-20 4-JCF-6D-11, 12. DJJ 1.3, 3.42, 5.1, 5.3</p> | |
| <p>Chapter 5: RECORDS MANAGEMENT</p> | <p>Effective Date: 11/20/15 Scheduled Review Date: 11/20/16</p> | |
| <p>Subject: PERSONNEL RECORDS</p> | <p>Replaces: 4/1/12 Administrative Services Division</p> | |
| <p>Attachments: A – DJJ Personnel Records Format B – Personnel Records Review</p> | <p>APPROVED:  _____ Avery D. Niles, Commissioner</p> | |

I. POLICY:

The Department of Juvenile Justice shall establish and maintain an individual personnel record for each employee. Personnel records shall be secured in a designated, locked location.

II. DEFINITIONS:

Appointing Authority: The person or groups of persons authorized by law or delegated authority to make appointments to fill positions. The term also includes any person properly designated by the appointing authority to perform any duty of the appointing authority.

Employee Health Record: An organized compilation of written documents, reports, evaluations, notes, summaries, and other information pertaining to current and former employees that involves the employee’s and/or employee’s dependents’ personal health information.

Employee Self Service: A website available to employees through the Team Georgia Connection that allows them to access and update personal employment information.

Official Personnel Record: The personnel record held at Central Office for current and former employees.

Personnel Records: An organized compilation of written or electronic (i.e., PeopleSoft, emails, etc.) documents, reports, evaluations, notes, contacts, summaries, and other information pertaining to current and former employees. Personnel records include the official personnel record (held at Central Office), productivity file (held at the work site), and shadow file (held at the work site).

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Productivity File: A local file maintained by the supervisor or manager that contains notes and documentation concerning an employee's performance.

Records/Information Manager: The employee within the of Administrative Services Division responsible for the overall management of DJJ records, including the retention schedules, Certification of Records, and transfer of records to the State Archives, the Records Center, or any Department of Juvenile Justice Repository.

Records Coordinator: The individual staff member designated, in writing, by the Director of a facility/program/office of the Department of Juvenile Justice to assist with the records management process in his/her work unit.

Shadow File: Duplicate personnel records maintained at a facility/program/office that are not considered official personnel records.

Workers Compensation Records: Records pertaining to workers compensation claims.

III. EMPLOYEE RESPONSIBILITIES:

- A. Employees will provide the Department, through Employee Self-Service and/or required documentation, accurate, up-to-date personal information including, but not limited to:
1. Name;
 2. Home address;
 3. Telephone numbers;
 4. Tax withholding information;
 5. Marital status;
 6. Number of dependents;
 7. Beneficiary designations; and
 8. Emergency contacts.

IV. SECURITY OF PERSONNEL RECORDS:

- A. The Central Office will maintain the official personnel record of each Department employee.
- B. The Director of Human Resources in consultation with the Records Information Manager will coordinate all activities related to personnel records including, but not limited to: storage, safekeeping, access, use, disclosure, retention, and destruction.

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- C. The Office of Human Resources or designee will maintain all personnel records in a secure manner, in a designated location that is easily accessible to administrative/personnel staff. Access to personnel records will be controlled by the use of a highly restricted key, which is only available to designated administrative/personnel staff.
- D. Personnel records will not be removed from any facility/program/office without the express permission of the Director of Human Resources or designee.

V. MAINTENANCE OF PERSONNEL RECORDS:

- A. The Director of Human Resources is the custodian of the official personnel record, and is responsible for the maintenance and security of the record.
- B. The facility/program/office Director is the custodian of all other personnel records and is responsible for the maintenance and security of the records. The Office of Human Resources has open access to all personnel records.
- C. Personnel records will be labeled on the outside of the record with the employee's last name, first name, and employee identification number.
- D. Facilities/programs/offices may maintain shadow files. These files are not the employee's official personnel record.
- E. The Offices of Human Resources will approve all personnel-related forms and determine the format of personnel records. All facilities/programs/offices must use only the forms authorized by the Office of Human Resources.
- F. Official personnel records will be organized in accordance with the DJJ Official Personnel Records Format (Attachment A).
- G. All documents will be filed within 30 days, excluding weekends and holidays.
- H. When an employee transfers from one DJJ facility/program/office to another, his/her shadow file will be transferred at the same time. Disciplinary actions will remain in the shadow file when transferred.
- I. When an employee ceases to be employed with the Department, the local human resources representative will forward the employee's local shadow personnel and worker's compensation files and health records to the Central Office HR. The local files will be combined with official personnel and medical records and maintain for a period of 7 years following separation. Records will only be destroyed upon approval of the Records/Information Manager in accordance with DJJ 5.1, Records Management.

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- J. The Director of Human Resources must approve all requests to remove documents from the official personnel record, health records, and/or workers compensation. The employee must submit the request in writing.
- K. The Office of Human Resources will transfer an employee's official personnel record to another state agency upon the employee's transfer.
- L. Personnel records will be retained and destroyed in accordance with established retention schedules. (See DJJ 5.1, Records Management)

VI. EMPLOYEE HEALTH RECORDS:

- A. Each employee will have an individual health record maintained in a separate file from other personnel records. These health records will contain any information related to an employee's and/or employee's dependents' medical history, physical examination, medical certification, etc.
- B. Health records will be maintained in a secure manner, in a designated location that is easily accessible to administrative/personnel staff.
- C. Confidential records such as staff health records will be secured in a locked local holding area and clearly marked "confidential." Authorized personnel list shall be placed on the entrance doors using positions instead of individual names.
- D. Access to health records will be controlled by the use of a highly restricted key, which is only available to designated administrative/personnel staff.
- E. Confidentiality:
 - 1. Health information of employees and their family members will be considered confidential. Only Human Resources and Legal Services staff who need this information to perform their job duties are given access to the information.
 - 2. Human Resources staff will not provide managers and supervisors any health information.
 - 3. Managers, supervisors, and human resources staff will not provide other staff the reason for an absence or any other information regarding an absence. Without the employee's authorization, only the following health-related information will be provided:
 - a) An application or designation of family and medical leave has been made;
 - b) The anticipated begin and end dates or anticipated duration of the leave; and

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- c) Approval or denial of an application has been provided to an employee.

VII. USE AND DISCLOSURE OF PERSONNEL RECORDS:

- A. Personnel records are the property of the Department and are confidential information.
 - 1. Personnel records will be accessible only under the following circumstances:
 - a) To the employee;
 - b) Open records request; (See DJJ 5.3, Open Records Act)
 - c) Appointing authority;
 - d) Supervisors and managers and other Department staff with an official need to know in the course of conducting Department business;
 - e) Official government agencies for the purposes of investigation; and
 - f) As otherwise required by law. (See DJJ 1.3, Legal Services)
 - 2. Persons requesting reviews of personnel records must provide picture identification before being granted access to the record.
 - 3. Access to personnel records will be permitted during normal work hours of any regular work day. Individuals seeking access should provide at least 24 hours advance notice to the Director of Human Resources of their intent to review requested material.
 - 4. Personnel records must be reviewed in the presence of administrative/personnel staff, unless otherwise approved by the Director of Human Resources.
 - 5. Any time that a personnel record is reviewed or copied for one of the reasons indicated above, the person reviewing or copying the record will sign the Personnel Record Review Form (Attachment B), indicating the purpose for the review. All disclosures, including open records requests and subpoenas, will be indicated on the Personnel Record Review Form.
- B. Reference Checks:
 - 1. A Department manager seeking information may contact another Department manager in person, by phone, or by written communication. The manager responding to the request for reference information will provide only job-related information that is based on fact, and should be supported by performance appraisals, examples of work performance, attendance records, and other objective indicators. The manager seeking the information and the manager

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providing the information will be jointly responsible for ensuring that the information is shared on a “need to know” basis. When used for selection purposes, reference information will be maintained with other selection materials in accordance with DJJ 3.42, Recruitment and Selection.

2. Requests for reference information concerning current and former employees from outside state government will not be honored. Only the current/former employee’s basic employment information and salary will be released.

C. Verification of Salary and Basic Employment Information:

1. Requests for verification must be in writing on company letterhead or stationery and must contain the employee’s written authorization to release the information.
2. Requests for verification must be forwarded to the Office of Human Resources.
3. Information provided will be limited to date(s) of employment, job title, and salary.

VIII. LOCAL OPERATING PROCEDURES REQUIRED: NO